

May 25, 2001

Dear Chief Administrator:

Enclosed is the 2001-2002 Phase III Budget submission information. Only the two page budget estimate is to be submitted by June 30, 2001, unless your are making major modifications in your Phase III expenditures.

Phase III funding is an important component in helping support new learning for teachers and AEA staff members in Iowa and in helping districts accomplish their goals and implement their Districts' Comprehensive School Improvement Plans and in helping AEAs accomplish their goals and implement their Plans.

As you plan Phase III activities for the coming school year, I urge you to continually ask these types of questions:

- **What are the needs of our students, both now and in the future?**
- **Does our educational system currently meet all students' needs?**
- **Is our system designed to meet all students' needs?**
- **What changes might we make to better meet all students' needs?**

Next school year we will enter our 15th year of funding Iowa's Educational Excellence Program (Phases I, II, and III). To date in Phase III alone, \$488 million have been provided to school districts and area education agencies to pay school and AEA staff members for their work in bringing about systemic change to meet the future needs of students in Iowa. I urge you to continue to focus your school improvement efforts on improving teaching and learning, and to use your portion of Phase III funds to improve instruction in every classroom in your Agency.

Sincerely,

**Ted Stilwill
Director**

NOTE: Please read all materials before submitting the budget. Questions should be directed to:

Steve Fey – 515-281-3552

steve.fey@ed.state.ia.us

or the Consultant for School Improvement assigned to your area

2001-2002 Phase III Budget Information (AEAs)

The 2001-2002 Phase III budget is to be submitted on the enclosed form. Phase III activities are to be clearly and directly in support of the district's or Area Education Agency's comprehensive school improvement plan.

The details of your Phase III expenditures have been included as part of your agency's comprehensive school improvement plan. Additional Phase III program information will be submitted to the Department ONLY if you are making major modifications in your Phase III expenditures. If you are making major modifications in Phase III expenditures, it will be necessary to submit a modified plan by September 15, 2001.

Budget Approval

All completed 2001-2002 Phase III budgets must be postmarked by June 30, 2001. Once budgets have been reviewed by Department staff, you will be notified of approval or additions/changes that are needed prior to approval.

Specific Directions

1. On the blank line on the front, type the Agency's name.
2. For Item 9.a, estimate the Budget, use the September 2000 certified enrollment for the Agency.
3. On line 9.c, multiply and write the estimated per pupil allocation of \$2.09 times the number on line 10.a.
4. On line 9.d add any carryover from the 2000-2001 plan.
5. On line 9.e, add any funds received from other districts (# of students received times \$2.07 for open enrollment, special education, sharing, etc.)
6. On line 9.f, subtract any funds sent to other districts (# of students sent times \$2.07 for open enrollment, special education, sharing, etc.).
7. On line 9.g, complete the arithmetic and write the total funds available.

8. In item 10, Expenditures, write the amounts to be spent in the various categories on lines 10.a – 10.e *Note:* Use the 2001-2002 restricted indirect cost rate. Multiply it against the amount on line 9.c to determine the indirect cost amount.
9. Line 10.f may not exceed line 9g.
10. If funds are allocated for purchased services, please specify those purchases at item 12. Identify the specific services with their corresponding amounts.
11. All parties must sign and date the application. **Original signatures only, please; no signature stamps.**
MAIL the original one-page application postmarked by June 30, 2001 to: Educational Excellence Program, Bureau of Administration and School Improvement Services, Iowa Department of Education, Grimes State Office Building, Des Moines, Iowa 50319-0146. (No faxes accepted)

Budget Due Date

Budget information must be postmarked no later than June 30, 2001.

Budgets

Phase III budgets shall not exceed the allocation plus the 2000-2001 carryover. Up to 50% of the 2000-2001 allocation may be retained in order to continue a 2001-2002 approved plan. Any amount more than 50% of the "Total Funds Available" that is not spent during the 2000-2001 school year **MUST BE RETURNED TO THE STATE.**

Payments

Payment for the Educational Excellence Program shall be made by the Department of Revenue and Finance on a monthly basis commencing on October 15 and ending on June 15 of each fiscal year.

Support for School Improvement

Should you have any questions about Phase III or school improvement issues, please contact the consultant for school improvement for your area or Steve Fey.

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2001-2002 Phase III Budget (AEA)

The _____ assures that in accordance with Iowa Code section 294A.12 – 20 and Iowa
(agency name)

Administrative Code 281—91.1 – 7, in applying for 2000-2001 Phase III funds, that:

1. the 2001-2002 Phase III funds received by the agency will be used to support the agency's comprehensive school improvement plan and all indicated activities will be implemented and in place during the 2000-2001 school year.
2. each Phase III funded activity
 - a. is driven by board-adopted student learning goals,
 - b. has for its foundation the agency's comprehensive school improvement plan,
 - c. is selected on the basis of identified and documented educational system change research,
 - d. is evaluated to determine the impact of the activity on bringing about systemic change to improve student achievement, and
 - e. if used for staff development, is an integral part of the agency's comprehensive school improvement plan and includes theory, demonstration, practice with mentoring, and continuing follow-up and feedback.
3. Phase III expenditures will adhere to all applicable state and federal laws and regulations and shall be reported to the community through the annual audit process;
4. all supporting documentation of the status and results of Phase III activities will be maintained in a central location for a period of at least five years;
5. an annual report of the 2001-2002 activities will be attested to by the collective bargaining representative (where applicable), the chief administrator, and the school board president and will be filed with the Department of Education by August 15, 2002.
6. Phase III funds will not be used to supplant existing expenditures for programs operated on a paid or a voluntary basis;
7. all federal and state laws which prohibit discrimination on the basis of gender, race, national origin, disability, age, and religion in educational programs will be adhered to; multicultural, gender fair approaches will be used in implementing Phase III activities; and
8. if the agency is organized for collective bargaining purposes under Iowa Code chapter 20, those portions of the planned expenditures that are within the scope of negotiations specified in section 20.9 have been mutually agreed to by both the board of directors and the certified bargaining representative for certified employees.

2001-2002 Phase III BUDGET Estimate (AEA)

9. **Revenue:**
- | | | | | |
|----|-----------------------------------------------------|---|---------------|------------------------------|
| a. | Third Friday in September 2000 certified enrollment | | _____ | |
| b. | Per pupil allocation | x | <u>\$2.09</u> | (Note : This is an estimate) |
| c. | Total allocation | = | \$ _____ | |
| d. | Funds carried over from 2000-2001 plan | + | _____ | |
| e. | Funds received from other AEAs | + | _____ | |
| f. | Funds sent to other AEAs | - | _____ | |
| g. | TOTAL FUNDS AVAILABLE | = | _____ | \$ _____ |

10. **Expenditures:**
- | | | | |
|----|------------------------------------------------|-------|----------|
| a. | Teacher salaries | _____ | |
| b. | Substitute teacher salaries | _____ | |
| c. | Employee benefits (IPERS & FICA) | _____ | |
| d. | Purchased services (specify below) | _____ | |
| e. | Indirect costs (use 2001-2002 restricted rate) | _____ | |
| f. | TOTAL EXPENDITURES | | \$ _____ |

11. **Balance remaining** \$ _____

12. Purchased Services specified:

13. The type(s) of the agency's 2001-2002 Phase III pay plan is/are: (please check all that currently apply and that will actually be in place for the 2001-2002 school year)

- _____ a. comprehensive school transformation
_____ b. performance-based pay
_____ c. supplemental pay

Signature of Certified Bargaining Representative

Date signed

Signature of Administrator

Date signed

Signature of Board President

Date signed